

## 2003-2004 Consolidated Application For Funding Categorical Aid Programs

### PART II - INSTRUCTIONS

**Part II of the *Consolidated Application for Funding Categorical Aid Programs, Fiscal Year 2003-2004*, contains information related to entitlements, allocations, and numbers of participants in specified programs. Part II must be submitted electronically to the California Department of Education by Friday, December 19, 2003.**

#### Page 15: Certification Page

**Page 15** is similar to Page 1 submitted in Part I. Shaded areas on this page indicate where data is to be supplied by CDE.

**Date of approval by local governing board:** Enter the date of the meeting at which the LEA board of trustees approved the application.

**Signature of authorized representative:** The signature of the LEA superintendent or authorized designee is required to certify that the information submitted in Part II of this application is complete and correct, that all applicable state and federal rules and regulations will be observed and that the use of all funds will be subject to review and/or audit according to standards and criteria of the CDE's current *Coordinated Compliance Review (CCR) Training Guide*.

**Committee Signatures:** District Advisory Committee (DAC) and District English Learner Advisory Committee (DELAC) chairpersons and date. Signatures of the current or past DAC and DELAC chairpersons (if new elections have not been completed for 2003-2004) indicate that these committees have read, discussed, and had the opportunity to provide advice on the application being submitted, and the applicable legal assurances. If an applicable advisory committee refuses to sign the application, a comment must be included that indicates the date(s) of meetings for input.

#### DAC/DELAC Committee Signature Requirements:

**DAC** If Economic Impact Aid (EIA) funds are allocated to State Compensatory Education (SCE) or alternative programs, the district must elect a District Advisory Committee (DAC) and obtain this signature from the chairperson. Check ( ? ) N/A box if not applicable.

**DELAC** If the district enrolls more than 50 English learners, the district must establish a District English Learner Advisory Committee (DELAC) and obtain this signature from the chairperson. Check ( ? ) N/A box if not applicable.

## **Page 16: 2002-2003 Title I, Part A Carry-over Calculation**

**Page 16** is used to calculate Title I, Part A carry-over. LEAs receiving less than \$50,000 of Title I, Part A funds in fiscal year 2002/2003 are not subject to the 15 percent carry-over limit and need not complete the calculation on this page. Simply check box in Section A and this page is complete.

### **Section A. Title I, Part A Carry-over Calculation**

Each LEA that received \$50,000 or more of Title I, Part A funds in fiscal year 2002-2003 must complete section A.

1. The 2002-03 Allocation, Basic and Neglected: No entry is needed; the program will provide this amount.
2. The 2002-2003 Expenditures: - enter the total of the 2002-2003 Title I, Part A, Basic and Neglected expenditures amount for the period of July 1, 2002 through June 30, 2003.
3. The 2002-2003 Carryover: No entry is needed. The program will automatically calculate the 2002-2003 Carry-over amount; provide the 2002-2003 Entitlement and calculate the Carry-over Percent.

If the carry-over amount is 15 percent or less of the fiscal year 2002/2003 entitlement, this page is complete.

### **Section B. Optional Calculation for Extended Federal Fiscal Year**

If Section A results in more than 15 percent carry-over, LEA has the option to complete Section B to determine if the calculation in this section will reduce the carry-over to 15 percent or less.

Calculations for Section B are the same as those in Section A except that an additional three months (July 1 through September 30, 2003) of expenditures are reported to reduce the carry-over if it eliminates the need for a waiver request. See Section C.

If the carry-over in Section B is 15 percent or less, this section may be used to report carry-over and to eliminate the need for a carry-over waiver request. This page is complete.

Note: Expenditures for July 1, 2003 through September 30, 2003 may only be included in one fiscal year; FY 2002/2003 or FY 2003/2004. If an LEA selects to use Section B to eliminate the need for a waiver, the LEA must make sure that the Carry-over Page in Part II of the 2004/2005 Consolidated Application (next year) only includes expenditure amounts from October 1, 2003 through June 30, 2004 in Section A and from October 1, 2003 through September 30, 2004 in Section B (if applicable).

## **One Time Exemption**

LEAs are eligible for a one-time exemption to the 15 percent carry-over limit:

If (and only if) the LEA needs to exceed the fifteen percent limit to spend the equivalent of 20 percent of the fiscal year 2002 allocation on choice-related transportation and supplemental educational services.

Please be advised that this exemption applies to fiscal year 2002/2003 Title I funds only. Starting with fiscal year 2003/2004 allocations, all LEAs must comply with the statutory 15 percent carry-over limit for Title I funds.

## **Transferability and Title I Carry-over**

If an LEA transfers funds from another Federal education program into Title I, Part A under the transferability provision in section 6123 of ESEA, then the additional amount transferred is added to the LEA's Title I, Part A allocation and the combined amount becomes the base for calculating the 15 percent carryover limitation.

## **Section C. Waiver**

This section is used to indicate the date of the waiver request submission to CDE. LEAs usually submit these waivers prior to submitting Part II of the Consolidated Application.

If the LEA received more than \$50,000 and the carry-over amount exceeds 15 percent after completing Sections A and B, the LEA will be billed for the amount exceeding the 15 percent limit unless it is granted a waiver by the California Department of Education. To waive the 15 percent carry-over limit, you may submit a Carry-over Request Form if **all of the following three** conditions apply:

1. Your district received more than \$50,000 in fiscal year 2002/2003; and
2. Section A carry-over is more than 15 percent; and
3. Section B carry-over is more than 15 percent or Section B carry-over is less than 15 percent but the LEA selects not to use this option; and

LEAs are allowed the waiver option once in three years. Title I reauthorization under the NCLB Act starts the three-year time period over with fiscal year 2002/2003 funds making all LEAs eligible to apply for a waiver if the carryover amount exceeds 15 percent.

The Title I Carry-over Request Form, available at <http://www.cde.ca.gov/iasa/titleone/carryoverform.pdf>, must be approved and on file with

the CDE before the LEA can spend the carryover funds that are in excess of the 15 percent limit.

For additional information, contact Jyoti Singh at (916) 319-0372.

## Page 17: 2003-2004 Federal Transferability

**Page 17** is used to indicate decisions made by the LEA to transfer money from one federal program into another. Title VI, Section 6123 of the *No Child Left Behind Act* (NCLB) allows an LEA (except an LEA identified for improvement under 1116(c) or corrective action under section 1116(c)(9)) to transfer up to 50% of the funds of any of the programs listed, with the following restrictions:

- An LEA may not transfer funds allocated under Part A of Title I to any other program.
- An LEA identified for improvement under section 1116(c) may transfer not more than 30 percent of the funds allocated to the LEA to its allocation for school improvement under section 1003 or to any other allocation listed in the statute if the transferred funds are used only for LEA improvement activities consistent with section 1116(c).
- An LEA identified for corrective action is prohibited from transferring funds under the transferability authority.
- An LEA must modify its LEA Plan to address such transfers, and submit a copy of the plan to CDE within 30 days of the transfer.
- Consultation is required under section 9501, if such transfer affects students or educational personnel from private schools.

**For more information on federal transferability rules, see** NCLB Title VI, Section 6123 Transferability of Funds:

<<http://www.ed.gov/legislation/ES EA02/pg88.html#sec6123>>; or NCLB Title VI, Section 6211 Use of Applicable Funding:

<<http://www.ed.gov/legislation/ESEA02/pg94.html#sec6211>>.

**2003-2004 Program Entitlements:** No data entry is required for this section. CADS enters the amounts of federal program entitlements allocated to your LEA for 2003-2004 from which you may transfer funds. Notice that Title I, Part A is not listed in this column, since LEAs are restricted from transferring funds out of this funding source.

**Amounts Transferred to These Programs:** The *No Child Left Behind Act* (NCLB) allows for the transfer of funds among NCLB programs. Up to fifty percent of the funds for listed NCLB programs, if not needed for the purposes of that program, may be transferred to another NCLB program. To complete this section, enter the amounts you wish to transfer from programs listed under “2003-2004 Program Entitlements” to programs listed in these columns.

**Amounts Retained in the Original Program:** After you have entered the amounts you wish to transfer, CADS will automatically calculate, and post in this column, the amounts retained by each program.

**Totals Transferred and Used For:** CADS will automatically calculate the total amount transferred into each federal program, and post it on this bottom line. CADS will then enter on Page 18 the amounts transferred into programs (see Line 2) and the amounts transferred from programs (see Line 3).

## **Page 18: 2003-2004 Total District Allocations of Federal Funds**

**Page 18** is used to calculate the total LEA federal allocations for 2003-2004 for each program, and to determine the total approved amounts that will be allocated to individual schools on Page 21. Charges by the district may include indirect costs and any repayment of funds.

- Line 1     Entitlements:** CADS will provide the federal funds appropriated for 2003-2004.
- Line 2     Transferred In:** CADS will provide this form Page 17.
- Line 3     Transferred Out:** CADS will provide this form Page 17.
- Line 4     2003 – 2004 amount after transfer:** CADS will automatically calculate this.
- Line 5     2002 – 2003 Carryover:** Enter the carryover amounts for each funding source (columns a through h).
- Line 6     Funds available for flexible use under REAP:** CADS will automatically calculate this.
- Line 7     Total approved allocation:** The Total approved allocation will be automatically calculated.
- Line 8     Reserved for indirect costs:** Compute and enter the amount of indirect costs reserved from each funding source. The indirect cost rate for federal programs is a rate previously approved by CDE through the use of the J-380.
- Line 9     Repayment of Funds:** Enter the amount of funds to be repaid from the LEA in response to a fiscal audit, a Coordinated Compliance Review (CCR) and /or a complaint investigation, The amount must coincide with the determination made from the foregoing processes.
- Line 10    Adjusted total allocation:** The Adjusted Total Allocation will be automatically calculated. These are the amounts available to allocate to school sites on Page 21. If Page 19 is also completed, use the Final Adjusted Total Allocation (Line 18) for Title I, Part A funds available for allocations to school sites. Programs such as Title II and Title IV do not require site allocations, and do not appear on Page 21.

## **Page 19: Reservations for Title I, Part A (Basic Grant)**

**Page 19** identifies district reservations of Title I, Part A (Basic Grant) funds prior to making allocations to schools. If an LEA is not receiving 2003-04 Title I, Part A funds, check “The page is not applicable” box and move to the next page.

Because the reservation of funds by an LEA, unless required by law, will reduce the funds available for distribution to school sites, the LEA must consult with teachers, pupil services personnel (where appropriate), principals, and parents of children in participating schools in determining what reservations are needed. This issue must also be part of the consultation with private school officials.

**IMPORTANT:** LEAs funding schools below 35% poverty **MUST** ensure that all served sites receive 125% per low-income student before reserving any funds on this page. Please note this requirement applies to **ALL** LEAs receiving Title I, Part A (Basic Grant) funds, **INCLUDING** those LEAs that are not required to rank their schools (i.e. have less than 1,000 ADA). This includes LEAs with a district mean below 35% as well. The only LEA configuration not required to comply is a school district with a single school.

### **Section A: Reserving Funds**

**Reservation for Parent Involvement:** Complete Section A only if no funds will be reserved for parent involvement in Section B on line 2. Title I, Part A (Basic Grant) requires that each LEA receiving more than \$500,000 in Title I, Part A (Basic Grant) funds reserve not less than 1% of those funds for parent involvement programs. Of the 1% set aside for parent involvement, 95% must be distributed to schools. Additional information may be found in the NCLB Act under *Section 1118. Parental Involvement (a) Local Educational Agency Policy (3) Reservation*.  
<<http://www.ed.gov/policy/elsec/leg/esea02/pg2.html#sec1118>>

Line B2 may be left blank for only one reason: the LEA receives a Title I, Part A entitlement equal to or less than \$500,000 and chooses not to set aside funds for parent involvement.

**Note:** An LEA that receives an amount equal to or less than \$500,000 may reserve an amount for parental involvement if it so chooses. An LEA that receives more than \$500,000 may reserve in excess of 1% for parent involvement if it so chooses.

### **Section B: Reservations**

**Line 1 Adjusted Total Allocation:** The computer program will insert the amount from Line 10, Column A on Page 18.



**Line 2      Reservation for parent involvement:** Districts with over \$500,000 in Title I, Part A (Basic Grant) must reserve at least 1% for parent involvement unless the LEA places the responsibility at the site level, monitors implementation, and allocates funds to the site. Refer to instructions for Section A.

**Line 3      Professional Development:** Enter the amount to be reserved from Title I, Part A (Basic Grant) for professional development programs. Each LEA **must** spend a minimum of 5% and not more than 10% of their funds on professional development. The professional development activities must ensure that teachers who are not highly qualified become highly qualified. No reservation is required if all applicable teachers meet the definition of highly qualified. See: (*NCLB Section 1119 Qualification for Teachers and Paraprofessionals*) <<http://www.ed.gov/policy/elsec/leg/esea02/pg2.html#sec1119>>

**Line 4 &      Program Improvement: School choice transportation and**  
**Line 5      Program Improvement: Supplemental educational services:**  
Enter the amount to be reserved from Title I, Part A (Basic Grant) to pay for school choice transportation and supplemental educational services. Unless a lesser amount is needed, the LEA must spend an amount equal to 20% of the Title I, Part A (Basic Grant) allocation. Of this amount, 5% must support choice-related transportation, 5% must support the provision of supplemental services and the remaining 10% may support the costs of either choice-related transportation or supplemental services.

Note: Title V, Part A and other eligible local, state and federal funds may also be used to meet an amount equal to the 20% of the district's Title I, Part A allocation for these two purposes.

**Line 6      Serving community day school students:** Enter the amount to be reserved from Title I, Part A (Basic Grant) for serving eligible students in community day schools. It may be necessary to coordinate transfer of these funds to the agency operating the community day school(s).

**Line 7      Title I Capital expenses reserved for private schools:** Enter the amount to be reserved from Title I, Part A (Basic Grant) for capital expenses for private nonprofit schools (for serving eligible students). This amount is not for general district capital expenses.

**Line 8      Salary differentials:** Enter the amount to be reserved from Title I, Part A (Basic Grant) for salary differentials. An LEA may consider variations in personnel costs, such as seniority pay differentials or fringe benefits differentials, as LEA-wide administrative costs, rather than as part of the funds allocated to school attendance areas or schools. The LEA would pay the differential salary and fringe benefit costs from its administrative funds taken off the top of the LEA's allocation. This policy would have to be applied

consistently to staff serving both public and private children throughout the LEA.

**Line 9      **Preschool:**** Enter the amount to be reserved from Title I, Part A (Basic Grant) for operation of Title I preschool programs. (See <http://www.cde.ca.gov/iasa/titleone> for details.)

**Lines 10, 11, 12, 13, and 14      **Summer school, Before school programs, After school programs, Intersession programs, and School year extension programs:****  
Enter the amount reserved for the authorized activities named.

**Line 15      **Reservation for serving neglected students:**** Enter the amount of Title I, Part A funds generated by neglected students residing in 24-hour facilities. Funding for services to neglected children who reside in 24-hour facilities is generated by a count taken of the number of students that are enrolled and served by LEAs in the month of October. In school districts, these neglected students are served in 24-hour facilities (group homes) that are not considered public school sites. School districts' Title I funds generated by neglected students are combined with the funds generated by low-income students in the Title I, Part A (Basic Grant) entitlements. Therefore, funds generated by the neglected students must be reserved by the LEAs to serve this special population of students. County offices of education also serve neglected students residing in group homes and in county shelters. However, county offices receive Title I, Part A funds directly as an entitlement separate from other Title I funds.

**Line 16      **Reservation for serving homeless students:**** The LEA will reserve Title I, Part A funds to provide comparable services to homeless children to ensure that each homeless child and youth has equal access to the same free, appropriate public education, including a public preschool education, as provided to other children and youth. This reservation requirement is not formula driven. The amount reserved is to be determined by the LEA as appropriate. (PL 107-110, *Section 1113. Eligible School Attendance Areas (c) Allocations (3) Reservation (A) homeless children...*). For additional information, see [www.cde.ca.gov/cilbranch/homeless/homelesstoc.html](http://www.cde.ca.gov/cilbranch/homeless/homelesstoc.html).

**Line 17      **Total:** Sum of lines 2 through 16. This line will be automatically calculated.**

**Line 18      **Final Adjusted Total Allocations:**** This line will be automatically calculated. Line 18 is the amount of Title I, Part A (Basic Grant) funds available for allocation to sites. This total replaces the amount on Page 18, Line 10 of Column A and must match the "Adjusted Total Allocations" line on Page 21, Column F.

## **Page 20: 2003-2004 Title I Achieving Schools Allocation**

**Page 20** is used to allocate a one-time award to the 2002-03 Title I Achieving Schools and Title I Honorable Mention Schools. **Complete this page only if there is at least one 2002-2003 Achieving or Honorable Mention School in your district.** This award is based on the No Child Left Behind Act (NCLB) of 2001, Section 1117(b). The basic intent of the funds is to recognize the schools that met 2002-03 Achieving Schools criteria. Section 1117 (b) also provides for consideration by these schools to serve as models for and support to other schools particularly those identified for program improvement under NCLB, Section 1116.

Each school must submit a scope of work, including a budget for the allocated funds, to the California Department of Education, Title I Policy and Partnership Office. The CDE will correspond with the LEA under separate cover to further explain “scope of work.”

These awards for the Achieving and Honorable Mention Schools are separate and distinct from federal allocations on Page 21, and state allocations on Page 22. **There is no carryover provision and awarded funds must be expended in full by September 30, 2004.**

### **Section A. District-Level Allocation**

**Line 1: District Allocation** The total approved allocation is supplied.

**Line 2: Indirect Cost** Enter the amount of indirect cost reserved from each from each school’s allocated amount. The LEA **may** calculate no more than its approved rate for indirect costs. Refer to Page 27, Line 18 for allowed indirect cost rate. **The use of indirect costs for this purpose is optional.**

**Line 3 Adjusted District Allocation** The system will calculate this amount for you.

### **Section B. School-Level Allocation (s)**

This section is completed by the California Department of Education. The school code, school name, award distinction, and total allocation based on award distinction have been entered.

## Page 21: 2003-2004 District Allocations of Federal Funds to Schools

**Page 21** is used to report the amounts allocated to each participating school from each of the Consolidated Programs funding sources in Columns G through K. If an LEA is not receiving 2003-2004 Title I, Part A; Title I, Part D; Title III, Part A (LEP); or Title V, Innovative funds, check “The page is not applicable” box.

Note that funds reported by program are the total approved amounts to be allocated to individual schools **after** the LEA has made adjustments on pages 18 and 19 (if applicable), including appropriate reservations such as indirect costs.

*Centralized services, including direct costs of administration, and centralized instructional costs, must be included in school allocations. Each comprehensive school plan must contain the amounts budgeted for centralized services and a description of the centralized services to be provided to the school program.*  
(EC §63001; CCR T5, §3944(a),(b))

**Note about Nonprofit Private Schools:** Nonprofit Private schools are listed on page 21. Nonprofit Private school enrollment and low income counts are included in public school attendance areas on pages 5 and 6 of Part I, and therefore were not listed on those pages. For purposes of allocating funds to private schools with low income students from eligible, funded public school attendance areas, it may be necessary to move private school low income figures out of public school attendance areas into the private school's line on page 21.

Also, use the Maintain Schools feature on the Main Page of the Con App Data System (CADS) to add the private school names and CD codes of the private schools located in other districts where students who reside in Title I served attendance areas in your district are enrolled. If your district does not directly serve eligible students who attend these schools, include the Title I allocation reserved for these out-of-district private schools for services to be provided to these eligible private school students.

**Column A** Name of school: A list of participating schools and CD codes is supplied using data from the prior year's application. Check the list to ensure that it is correct. Use the Maintain Schools feature to add the names and valid school codes of any public or private schools that are new participants this year. ALL schools listed MUST have a valid CD code. Please do not add school codes that have been retired or codes used only by the LEA for internal reporting purposes (ONLY use a valid, CDE issued CD code). For further assistance regarding CD codes, please contact Linda Sukaukas, Educational Demographics Office at (916) 327-8647.

If the LEA wishes to add or remove an eligible funded school, make the appropriate revision to the schools in column A. (Please note that SCE schools **must** receive at least as much EIA-SCE funds as they would have received of Title I, Part A funds.)

Any school receiving an allocation for Title I and/or EIA-SCE should be ranked as eligible in Part I of this application. If changes in the numbers of or the distribution of low-income students have occurred, sites selected for programs on Part I of the Consolidated Application may no longer be eligible. Should this be the case, the LEA should make the appropriate changes to pages 5 and 6 of Part I of the application and make the appropriate changes to the supplied data on page 21.

**Column B**     Percent of low income students: The percent of low income students is supplied in this column. This data was submitted on page 6 of Part I of the Consolidated Application.

**Column C**     Number of low income students: The number of low income students is supplied in this column. These data were submitted on page 6 of Part I of the Consolidated Application. If the LEA wishes to update the data (which will also update the data in column C), revisions to pages 5 and 6 of the Consolidated Application, Part I must be submitted. The number of low-income students is used to calculate the Title I, Part A allocation.

**Column D**     Title I, Part A \$ per low income student: Enter the amount of Title I, Part A funds that the LEA has determined to allocate per low income student.

**The following points summarize the requirements of Title I for allocating Title I funds to participating schools.**

- ◆ An LEA must allocate Title 1 funds to participating schools in rank order, on the basis of the total number of children from low-income families in each school.
- ◆ The LEA must serve, in rank order of poverty, all schools above 75% poverty first, including any middle schools or high schools.
- ◆ Only after an LEA has served its schools with a poverty rate above 75% may the LEA serve lower-ranked schools. The LEA has the option to: (1) rank remaining areas by grade span groupings or (2) continue on with the districtwide ranking. The same poverty measure must be used for either option.

- ◆ If an LEA serves any school below 35 percent poverty, the LEA must allocate to all its participating schools an amount for each low-income child in each participating school that is at least 125% of the LEA's allocation per low-income child.
- ◆ An LEA with an enrollment of less than 1,000 students or with only one school per grade span is not required to allocate funds to schools in rank order. But must still comply with the 125% rule noted above.
- ◆ An LEA is not required to allocate the same per-pupil amount to each school, provided the LEA allocates higher per-pupil amounts to schools with higher concentrations of poverty than to schools with lower concentrations of poverty.
- ◆ An LEA may determine different per-child amounts for different grade spans as long as those amounts do not exceed the amount allocated to any school above 75% poverty. Per-child amounts within grade spans may also vary as long as the LEA allocates higher per-child amounts to schools with higher poverty rates than it allocates to schools with lower poverty rates.

**Column E** Site-level carryover, if applicable: An LEA may not use carryover funds to provide services in an ineligible school. However, the following uses of carryover are acceptable:

- ◆ Allow each school to retain its carryover funds for use in the subsequent year.
- ◆ Add carryover funds to the LEAs subsequent year's allocation and distribute to participating schools in accordance with allocation procedures.
- ◆ Designate carryover funds for particular activities that could best benefit from additional funding. (Examples: parental involvement activities; schools with the highest concentrations of poverty.)

**Column F** Title I, Part A, the total allocations for low income students: Number of low income students x Allocation per student + Site level carryover.) This figure will be automatically calculated.

**Column G** Title I, Part A (Neglected) funds: Enter the amount of funds to be allocated to each school for Title I, Part A (Neglected) services. If there are any delinquent group homes being served that are not school sites, enter the total amount in Column G on the "Local Institutions" row near the bottom of the page.

**Column H** Title I, Part D (Subpart 2) funds: Enter the amount of funds to be allocated to each school for Title I, Part D services. If there are any delinquent group homes being served that are not school sites, enter the total amount in Column H on the “Local Institutions” row near the bottom of the page.

**Column I** Title III, Part A (LEP) Funds: Enter the amount of funds to be allocated to each school (or on the districtwide line near the bottom of the page).

**Column J** Title V (Innovative) funds: Enter the amount of funds to be allocated to each school (or on the districtwide line near the bottom of the page) for Title V services. **Note:** Be sure to use page 18, Column H, line 10 for the Title V (Innovative Strategies program) and NOT the Title IV (SDFSC program) in Column G in error.

**Column K** Column K will be automatically calculated.

**Districtwide Allocations:**

Title III, Part A (LEP) and Title V (Innovative Strategies) are the only programs that allow for districtwide allocations.

**Adjusted Total Allocation:**

School level allocations in columns G through K are automatically calculated, at the bottom of page 21 on the line titled "Adjusted Total Allocations."

## Page 22: 2003-2004 Total Allocations of State Funds

**Page 22** is used to show the total LEA entitlements for 2003-2004 for each state funding source, and to determine the total approved amounts that will be allocated to individual schools on Page 22. Charges by the LEA may include indirect costs, EIA/Security, and/or EIA-Alternative Programs.

**Line 1 Entitlements:** These are the 2003-2004 funds appropriated to the LEA.

**Line 2** “Mega Item”: Although the mega-item is no longer used, LEAs may transfer up to **10%** of state funds allocated to an eligible program into another eligible program, providing that the recipient program’s state funds do not increase by more than **15%**. Eligible programs are identified in Section 12.40 of the **2003** Budget Act (includes most programs previously listed in the “mega-item”).

For fiscal year 2003-2004 only, Section 26 of AB 1266 (Chapter 573, Statutes of 2003) provides additional flexibility for LEAs allowing transfers above the current 10% transfer out limitations. Under AB 1266, LEAs may choose to transfer to eligible programs up to the total amount transferred in fiscal year 2002-2003.

Please note that this line should not include local budgeting flexibility transfers made pursuant to Section 39 of AB 1754 (Chapter 27, Statutes of 2003).

**Complete Line 2 only if this transfer option to redirect funds is used for any of the programs listed in columns A through E. Enter the amount of the adjusted entitlement based on the addition of funds to, or subtraction of funds from, the 2003-2004 entitlement preprinted on Line 1 for any programs in columns A – E.**

**Deferrals:** Line 2 may also be used to include funding for programs where the appropriation was deferred (in all or in part) into fiscal year 2003-04. This would apply only if the LEA did not accrue the deferred appropriation dollars in fiscal year 2002-03. (The four programs that experienced a deferral into fiscal year 2003-04 were as follows: School Improvement Program (SIP), Supplemental Grants, Targeted Instructional Improvement Grants, and Transportation). For purposes of Line 2 only SIP and Supplemental Grants would apply.

Supporting documentation for amounts identified in Line 2 should be maintained and available for audit purposes.

**Line 3 Carryover:** Enter 2002-2003 carryover amounts for each funding source in Columns A through G.



**Line 4    Total approved allocation:** Enter the sum of lines 1 and 3 (or lines 2 and 3 if transfer option is used) for each funding source in columns A through G. These are the total approved amounts prior to adjustments for SBCPs.

**Line 5    Reserved for indirect costs:** Compute and enter the amount of indirect costs reserved from each funding source. Indirect costs are those costs that are not readily identifiable with the activities funded by the grant but are nevertheless incurred for the joint benefit of those activities. Examples of services that typically benefit several activities and programs and for which appropriate costs may be attributed by means of an indirect cost are accounting, auditing, payroll, personnel, budgeting, and purchasing.

**Note:** *Fees for cooperative administrative services are not considered indirect costs. Such fees are reported by the district paying the administrative fee in expenditure object 5800 "Services and Other Operating Expenditures."*

The indirect cost rate for state programs is a rate previously approved by the CDE through the use of the J-380 report.

**Formula:** To determine the indirect cost amount allowed, use the following formula:  
indirect cost rate multiplied by the total expenditures equals the amount allowed (less capital outlay) for indirect costs.

**Example:** A district with an indirect cost rate of 3% and with SIP total direct expenditures of \$100,000:  $.03 \times 100,000 = \$3,000$ .

Indirect costs are charged against **actual** expenditures, less capital outlay, only. The charging of indirect costs does not occur until year end, when the total expenditures (actual and encumbered) are known. Amounts budgeted for indirect costs at the beginning of the year represent only the amount set aside, or reserved, for this expenditure. If funds are transferred to an SBCP, indirect costs are charged against actual expenditures in the SBCP at year end.

The following are some exceptions to the application of indirect cost rates:

1. The indirect cost rate for SIP and EIA **may not exceed 3 percent** or the approved J-380 rate, *whichever is less*. No indirect costs may be claimed without an approved J-380 on file with the CDE. (Title 5 Regulations, Section 3947)
2. The indirect cost rate for the Tobacco Use Prevention Education (TUPE). Program **may not exceed the J-380 rate**.
3. For certain state programs, the rate is applied to the total budgeted expenditures less the capital outlay expenditures. The programs to which this applies include the SIP and EIA programs.

**Line 6      Repayment of Funds:** Line 6 is used to identify funds to be repaid from the LEA in response to a fiscal audit, a Coordinated Compliance Review (CCR) and/or a complaint investigation. The amount must coincide with the determination made from the foregoing processes.

**Line 7      EIA Security:** Enter on Line 7, Column C, if applicable, the amount budgeted for EIA security. To compute the standard EIA security allocation for any LEA, multiply \$2,000,000 by the student population (K-12) of the LEA as a proportion of the student population of the state (K-12), based on CBEDS information. For the 2003-2004 school year, LEAs are to use the last official state student population count of 6,244,403. To determine the maximum amount allowable to a district, use this formula:

$$\frac{(\text{K-12 district student population})}{\$2,000,000 \times (\text{K-12 Total state student population})} = \text{district maximum amount.}$$

**Example:** A district with a total student population of 10,000 would compute its allowable EIA Security funds as follows:

$$\frac{10,000}{\$2,000,000 \times 6,244,403} = \$3,202.87$$

**Line 8      EIA Alternative:** Enter on Line 8, Column C, if applicable, the total amount the LEA has budgeted for its EIA Alternative program. LEAs are limited to 25% of their EIA/SCE allocation to implement alternative programs for special need students. Only schools with 50% or greater low-income students are eligible to spend EIA/SCE funds on the University and College Opportunities (UCO) Program. Additionally, the following conditions must be met: (1) The school advisory committee (SAC) has approved and the district advisory committee (DAC) has reviewed the implementation of such option; and (2) The school proposing to exercise such option is a school which is participating in the state compensatory education program.

**Line 9      Adjusted total allocation:** For each column add or subtract lines 5 - 8 from Line 4 and enter the remaining amount on Line 9. This is the amount available for school-level allocations. This adjusted total allocation must match the column totals for the applicable programs on Page 24 (excluding TUPE, which is administered at the district level).

**Note:** The EIA adjusted total in Column C may be allocated in either the EIA-SCE (EIA-State Compensatory Education) and EIA-LEP (EIA-Limited English Proficient) or both columns on Page 24.

**Col. G      Specific Instructions:** Column G is for indicating carryover from School Based Coordinated Programs (SBCP). Since it does not represent any "new

funds", no entitlement is printed and no mega-item adjustments are allowed.  
Deduct any reservation for indirect costs and show the Adjusted Total  
Allocation on Line 9.

## Page 23: 2003-2004 School Improvement Funding for Grades 7-12

**Column A**    **Name of school:** Check that preprinted schools and codes are correct and are schools that have at least one of grades 7-12 funded by SIP in 2003-2004. If there have been school closures or mergers, the LEA should contact the School Fiscal Services Division for instructions regarding procedures for reallocating the funds.

**Columns B and D**    **Average Daily Attendance (ADA):** These columns are supplied with grade 7-8 and 9-12 ADA figures as reported by the LEA in the December 2002 first principal apportionment period. If the LEA has questions about the data, contact Julie Brucklacher in the School Fiscal Services Division at (916) 327-4406.

**Columns C and E**    **Amount:** The 2003-2004 SIP funding rates for 7-8 and 9-12 are multiplied by the ADA for those grade levels, and the respective products are supplied in columns C and E.

**Column F**    **Total entitlement:** The entitlement for each school is printed in this column. Column F is the total of columns C and E for each school listed.

**Column G**    **SIP carryover:** Enter each school's 2002-2003 SIP carryover funds from grades 7-12. SBCP carryover is **not** to be included as SIP carryover.

This column will be blank for any 2002-2003 SBCP school that placed all of its SIP funds into an SBCP budget. If the school had any grades K-6 that generated carryover, those funds should not be included on this page. As in the past, SIP carryover funds from grades 7-12 **must** remain with the school that generated them. Add all entries in Column G and enter the total at the bottom of the column.

**Column H**    **Totals:** Calculate and enter each school's total allocation in this column. This is the sum of the school's entitlement in Column F and its carryover in Column G, **including indirect costs, if any**. Add all entries in Column H and enter the total at the bottom of the column.

**Note:** The secondary SIP formula provides a specified dollar amount per ADA for each school designated to participate in SIP. The ADA is taken from the first Principal Apportionment Report (P1) of the prior year.

## Page 24: 2003-2004 District Allocations of State Funds to Schools

**Page 24** is used to report the amounts allocated to each participating school from each of the Consolidated Programs funding sources in columns C through I. These amounts are the school allocations by program or funding source **before** any transfers to an SBCP. All allocations are in **whole dollar** amounts.

Note that funds reported by program are the total approved amounts to be allocated to individual schools **after** the LEA has made adjustments on page 22, including appropriate reservations such as indirect costs.

*Centralized services, including direct costs of administration, and centralized instructional costs, must be included in school allocations. Each comprehensive school plan must contain the amounts budgeted for centralized services and a description of the centralized services to be provided to the school program.*

*(EC §63001; CCR T5, §3944(a),(b))*

**Column A** Name of school: A list of participating schools and CD codes is supplied using data from the LEAs prior year's application. Verify the list, and add the names and valid school codes of any public or private schools that are new participants this year. ALL schools listed **MUST** have a valid CD code. Please do not add school codes that have been retired or codes used only by the LEA for internal reporting purposes (**ONLY** use a valid, CDE issued CD code). For further assistance regarding CD codes, please contact Rebecca Larsen, Technical Services Division at (916) 327-4014.

**Column B** SIP K-6: Enter the School Improvement Program (SIP) K-6 allocation.

**Column C** SIP 7-12: Enter the SIP 7-12 allocation.

**Column D** EIA-SCE: Enter the State Compensatory Education (SCE) allocation.

**Column E** EIA-LEP: Enter the Limited English Proficient (LEP) allocation.

**Column F** 10<sup>th</sup> Grade Counseling: Enter the 10<sup>th</sup> Grade Counseling allocation.

**Column G** 2002 – 2003 SBCP Carryover: For each SBCP school, enter the SBCP carryover, if applicable, from 2002-2003. Please note that this column is only for 2002-

2003 carryover and is different from all other columns that request 2003-2004 school allocations.

**Column H      Total of State Funds:** These figures will be automatically calculated for columns B through G.

**Column I      Total of State and Federal Funds :** These figures will be automatically calculated from the total of column H (this page) and column K from page 21.

## **Page 25: 2002-03 Title IV, Part A (SDFSC) Annual Fiscal Report**

Page 25 is used to summarize the Title IV, Part A, Safe and Drug-Free Schools and Communities (SDFSC) budget resources available for use in 2002-03 and allocated to those Local Educational Agencies (LEAs) that applied as a county office of education, a school district, or a direct-funded charter school. Additionally this page is used to summarize the actual 2002-03 Title IV, Part A, (SDFSC) Program expenditures and encumbrances. **The 2002-03 Title IV funds must be spent or encumbered by September 30, 2004. Any funds not spent or encumbered by September 30, 2004 must be returned to the CDE.**

### **LEA Status:**

If an LEA did not receive 2002-03 Title IV funds, check the button “The page is not applicable”. The LEA is not required to complete the rest of this page.

### **Rural Education Achievement Program (REAP) Eligibility Status:**

Based on the information supplied by participating LEAs in the 2002-03 Consolidated Application, Parts I and II, the “REAP Status” has been supplied by the CDE for those LEAs.

In order to have participated in REAP for the 2002-03 year, a school district or charter school must have met both of the following criteria:

- The LEA must have an average daily attendance (a.d.a.), kindergarten through grade twelve students, of less than 600.
- All schools within the LEA must have a School Local Code of 7 or 8 under the U.S. Department of Education’s National Center for Education Statistics (NCES) locator system.

Questions about REAP eligibility or participation status should be directed to the Consolidated Programs Accountability Unit at 916-319-0297.

### **Budget Resources:**

**Based on the fiscal data supplied by each participating LEA in the Title IV portion of the 2002-03 Consolidated Application, Part II, certain data has been supplied by the CDE.**

**Line 1** For county offices, school districts, and direct-funded charter schools, the 2002-03 SDFSC entitlement amount is supplied on Line 1. If an LEA did not participate in 2002-03, the amount on Line 1 will be zero or blank.

NOTE: Lines 2 and 3 report on funds transferred between programs. NCLB Section 6123 governs the transferability of federal funds. A maximum of 50 percent of a program’s funds may be transferred to or from the following programs:

- Title II - Part A

- Title II – Part D
- Title IV – Part A
- Title V – Part A

**Additionally, funds may be transferred to, but not from, the Title I program.**

**Line 2** If applicable, enter the amount transferred into Title IV, Part A (SDFSC) from other programs. These funds are part of the total resources that are obligated to be used to implement Title IV, Part A – SDFSC program requirements.

**Line 3** If applicable, enter the amount of Title IV, Part A SDFSC funds transferred to other programs. This amount cannot exceed 50 percent of the 2002-03 SDFSC entitlement (Line 1).

NOTE: Lines 4 and 5 apply to REAP eligible and participating LEAs only. Participating LEAs were allowed flexible use, in whole or in part, any of the following funding sources that the LEA was eligible to receive:

- Title II - Part A
- Title II – Part D
- Title IV - Part A
- Title V – Part A

The funds could have been flexibly combined and used in any one of these programs or used for Title I, Part A, Title III, or Title IV, Part B in any amount determined by the LEA. The LEAs were not obligated to meet program requirements for any program for which no funding was used.

**Line 4** If an LEA was REAP eligible and participated in 2002-03, enter the total amount of funds flexibly used for the Title IV, Part A (SDFSC) program regardless of source.

**Line 5** If an LEA was REAP eligible and participated in 2002-03, enter the amount of Title IV, Part A – SDFSC funds flexibly used for other programs only.

**Line 6** The approved 2001-02 SDFSC carryover funds as reported in the 2002-03 Consolidated Application, Part II, are supplied on Line 6. **Note: These funds must be spent or obligated by September 30, 2003. Otherwise, they must be returned to the CDE.**

**Line 7** The sum of Lines 1 through 6 is a calculated field. This is the total program resources available for expenditure during the 2002-03 fiscal year.

**Line 8** Enter the amount expended for salaries of certificated program staff.

**Line 9** Enter the amount expended for salaries of classified staff.

**Line 10** Enter the amount expended for benefits of all SDFSC program staff.



- Line 11** Enter the amount expended or encumbered for the purchase of books and supplies.
- Line 12** Enter the amount expended or encumbered for travel and conference attendance.
- Line 13** Enter the amount expended or encumbered for rents, leases, and/or repairs.
- Line 14** Enter the amount expended or encumbered for interprogram services.
- Line 15** Enter the amount expended or encumbered for non-instructional consultant services.
- Line 16** Enter the amount expended or encumbered for instructional consultant services.
- Line 17** The sum of Lines 8 through 16 is a calculated field. This is the total **DIRECT COSTS** for the programs.
- Line 18** Enter the amount expended for capital outlay. Capital outlay for the SDFSC program is limited to 5% or \$1,000 of the LEA's 2002-03 entitlement amount (line 1), whichever is greater.
- Line 19** Enter the indirect costs allowed based on the total actual expenditures and encumbrances listed on line 17. The indirect cost rate used to calculate indirect costs can be less than, but not more than, the CDE-approved indirect cost rate for your county or district supplied on this page.

If you have questions regarding your CDE-approved indirect cost rate, you may call the CDE Financial Accountability and Information Services Unit at 916-322-1770.

**Indirect Cost Formula:** To determine the allowed indirect costs, use the following formula:

1. Multiply Line 17, the sub-total direct costs, times the LEA's approved indirect cost rate. This will determine your indirect cost.
2. Place the indirect costs on Line 19.

**Example:** An LEA has \$12,276 actual expenditures and encumbrances, and a 5.22% CDE-approved indirect cost rate.

- $\$12,276 \times 5.22\% = \$641$  (rounded).
- The \$641 is your LEA's allowed indirect costs.
- Enter the \$641 amount on line 19 (indirect costs).

**Line 20** The sum of lines 17 through 19 is a calculated field. This is the total 2002-03 expenditures and encumbrances for the program.

**Page 26: 2002-03 Title IV, Part A (SDFSC) Carryover Calculation and Carryover Request Justification**

**Please complete page 25 before completing page 26.** Page 26 is used to calculate the Title IV, Part A, Safe and Drug Free Schools and Communities (SDFSC) carryover from 2002-03 for those Local Educational Agencies (LEAs) that applied as a county office of education, school district, or a direct-funded charter school. If the carryover is over 25%, Section B, the Carryover Request Justification must be completed. Upon demonstration of good cause by the LEA, the carryover amount greater than 25% will be approved by the CDE.

**LEA Status:**

If an LEA did not receive 2002-03 Title IV, Part A (SDFSC) funds, check the “The page is not applicable” box. The LEA is not required to complete the page.

**Section A: Title IV, Part A - SDFSC Carryover Calculation**

- Line 1** The LEA’s 2002-03 SDFSC entitlement amount is supplied. Same as Page 25, Line 1.
- Line 2** The LEA’s amount of 2001-2002 unobligated SDFSC funds is supplied. Same as Page 25, Line 6.
- Line 3** The LEA’s total 2002-03 resources is supplied. Same as page 25, line 7.
- Line 4** The LEA’s total 2002-03 expenditures and encumbrances is supplied. Same as page 25, line 20.
- Line 5** If Line 4 is more than or equal to Line 2, enter a zero (“0”). Otherwise, enter the amount of unspent 2001-02 funds, line 2 minus Line 4. This is the amount of funds that reverted 9/30/03 and must be returned to the CDE. The CDE will bill the LEA for the unspent funds.
- Line 6** Enter, if any, the unspent 2002-03 funds that will be carried forward into 2003-04. The unspent 2002-03 funds equal the total 2002-03 resources (Line 3), minus the 2002-03 expenditures and encumbrances (Line 4), minus the unspent 2001-02 funds (Line 5). Unspent 2002-03 funds must be spent or obligated by 9/30/04.
- Line 7** To determine the carryover percentage, divide the carryover amount by the 2002-03 entitlement (Line 6 divided by line 1 times 100). If the percent is 25 percent or less, you are finished with this page. If the percent is over 25 percent, Section B (below) needs to be completed.

**Section B Justification Carryover Request**

Any individual LEA that exceeded the 25 percent carryover provision in Section A must complete Section B Title IV Carryover Request Justification. Upon demonstration of good cause by the LEA, the greater amount will be approved by the CDE. The use of carryover funds must comply with all SDFSC requirements, including the Principles of Effectiveness, and the LEA's approved Local Educational Agency Plan (LEAP). This form page 26, must be approved and on file with the CDE before the LEA can spend the carryover funds that are in excess of the 25 percent limit. For additional assistance in completing this section, contact Patty Macias, Safe and Healthy Kids Program Office, at 916-319-0198.

## **Page 27: 2003-04 Title IV, Part A (SDFSC) Program Budget Summary**

**Please complete pages 17, 18, 25 and 26 before completing page 27.** Page 27 is used to summarize the 2003-04 line item budget that will support the Title IV, Part A (SDFSC) program for those Local Educational Agencies (LEAs) submitting this application as a county office, a school district, or a direct-funded charter school.

### **LEA Status:**

If an LEA is not participating in the Title IV Program, check the box “The page is not applicable”. The LEA is not required to complete the rest of this page.

**NOTE: If an LEA elects not to participate, Line 1 shows the amount the LEA will not receive and line 4 show the carryover funds that the LEA will be billed.**

### **Rural Education Achievement Program (REAP) Eligibility Status:**

Based on the information entered by participating LEAs in the 2003-04 Consolidated Application, Part I, the “REAP Status” has been supplied by the CDE for those LEAs.

In order to participate in REAP for the 2003-04 year, a school district or charter school must have met both of the following criteria:

- The LEA must have an average daily attendance (a.d.a.) kindergarten through grade twelve students, of less than 600.
- All schools within the LEA must have a School Locate Code of 7 or 8 under the U.S. Department of Education’s National Center for Education Statistics (NCES) locator system.

Questions about REAP eligibility or participation status should be directed to the Consolidated Programs Accountability Unit at 916-319-0297.

**Line 1** For county offices, school districts, and direct-funded charter schools, the 2003-04 SDFSC entitlement amount is supplied on Line 1.

**Line 2** The amount transferred into Title IV, Part A (SDFSC) is supplied. Same as Page 18, Line 2. See the instructions for Page 17 regarding transfers made under NCLB section 6123 Funds transferred into Title IV, Part A are now considered SDFSC program funds and must be used to meet SDFSC program requirements and the Principles of Effectiveness.

**NOTE:** For REAP participating LEAs, the funds listed in Line 2 are the only funds that must be entered as projected budget amounts on Lines 7 through 19 in support of the SDFSC program.

**Line 3** The amount transferred out of Title IV, Part A (SDFSC) is supplied. Same as Page 18, Line 3. This amount cannot exceed 50 percent of the 2003-04

SDFSC entitlement (Line 1). Funds transferred out of Title IV, Part A, are now obligated to support the requirements of the programs to which the funds have been transferred.

**Line 4** The amount of 2002-03 SDFSC carryover funds is supplied. Same as on Page 26, Line 6. **Note: These funds must be spent or obligated by September 30, 2004. Otherwise, they must be returned to the CDE.**

**Line 5** **REAP Participating LEAs:** If the LEA is REAP eligible and participating in 2003-04, enter the amount of Title IV, Part A (SDFSC) funds available for flexible use during 2003-04 in accordance with NCLB section 6211. The amount of SDFSC funds available for flexible use is equal to the 2003-04 entitlement (Line 1) plus the 2002-03 unobligated funds (Line 4) minus the funds transferred out of Title IV to other programs (Line 3).

**NOTE:** For REAP participating LEAs, it is **NOT** necessary to enter the funds listed in Line 5 as projected SDFSC budget amounts on Lines 7 through 19. Such funds may be flexibly used for any one of seven eligible programs listed under NCLB section 6211. REAP participating LEAs are only obligated to report actual flexible use of 2003-04 funds in the following 2004-05 Consolidated Application, Part II fiscal report.

**Line 6** **Non-REAP LEAs:** The sum of Lines 1 through 4 is a calculated field. This is the total 2003-04 SDFSC resources that must be used for the Title IV, Part A Program. Continue with Lines 7 through 19.

Before entering the projected budget amounts on Lines 7 through 15, each LEA must first calculate the funding levels for Capital Outlay (Line 17), Direct Costs (Line 16) and Indirect Costs (Line 18) in that order. To do this, complete the following steps:

Step 1: **Line 17** Capital Outlay for the SDFSC program is limited to 5 percent of the LEA's 2003-04 entitlement amount (Line 1), or \$1,000 whichever is greater. If a LEA does not want capital outlay, enter a zero.

Step 2: **Line 16** Direct Costs are determined by the following formula:

- Total program resources (Line 6) minus capital outlay (Line 17) = working resources.
- Working resources divided by 1 plus your indirect cost rate (in decimal format) = total direct costs allowed.

**Example:** An LEA has \$53,000 in total program resources, \$1,000 of capital outlay, and a CDE-approved rate of 3.5 percent.

- $\$53,000 - \$1,000 = \$52,000$  (working resources)
- $\$52,000 / 1.035 = \$50,241.55$  (direct costs)

**NOTE:** The **indirect cost rate** used to calculate direct costs can be less than, but no more than the CDE-approved indirect costs rate for your county or district supplied on this page. If you have questions regarding your CDE-approved indirect cost rate, you may call the CDE Financial Accountability and Information Services Unit at 916-322-1770.

Step 3: **Line 18.** Enter the amount of Indirect Costs. Indirect Costs equal the Total 2003-04 Resources (Line 6) minus Capital Outlay (Line 17), minus Direct Costs (Line 16).

**Lines 7 through 15:** Enter the projected direct cost budget amounts on Lines 7 through 15 that will best support implementation of the performance goal 4 section of the LEA's approved Local Educational Agency Plan.

**Line 19**      The sum of Lines 16 through 18 is a calculated field. This is the total budget summary cost for Title IV, Part A, SDFSC program. This amount must match Line 6.

## Page 28: 2002-03 TUPE Annual Fiscal Report

Page 28 is used to summarize the 2002-03 budget resources for the Tobacco-Use Prevention Education (TUPE) program allocated to those Local Educational Agencies (LEAs) that applied as a county office of education, a school district, or a direct-funded charter school. Additionally, this page is used to summarize the actual 2002-03 TUPE program expenditures and encumbrances. **The 2002-2003 TUPE funds must be spent or encumbered by 6/30/05. Any funds not spent or encumbered by 6/30/05 must be returned to the CDE.**

### LEA Status:

If an LEA did not receive 2002-03 TUPE funds, check the “The page is not applicable” box. The LEA is not required to complete the rest of this page.

### Budget Resources:

**Based on the fiscal data supplied by each participating LEA in the TUPE portion of the 2002-03 Consolidated Application, Part II, certain data has been supplied by the CDE.**

- Line 1** For county offices, school districts, and direct-funded charter schools, the 2002-03 TUPE entitlement amount is supplied on Line 1. If an LEA did not participate in 2002-03, the amount on Line 1 will be zero or blank.
- Line 2** The approved 2001-02 TUPE carryover funds as reported in the 2002-03 Consolidated Application are supplied on Line 2. **Note: These funds must be spent by June 30, 2004. Otherwise, the funds must be returned to CDE.**
- Line 3** The approved 2000-01 TUPE carryover funds as reported in the 2002-03 Consolidated Application are supplied on Line 3. **Note: These funds were to be spent by June 30, 2003 and cannot be carried over in the 2003-04 fiscal year.**
- Line 4** Line 4 is a supplied calculation of the sum of Lines 1 through 3. This is the total program resources available for expenditure during the 2002-03 fiscal year.
- Line 5** Enter the amount expended for salaries of certificated program staff.
- Line 6** Enter the amount expended for salaries of classified staff.
- Line 7** Enter the amount expended for benefits of all TUPE program staff.



**Line 8** Enter the amount expended or encumbered for the purchase of books and supplies.

**Line 9** Enter the amount expended or encumbered for travel and conference attendance.

**Line 10** Enter the amount expended or encumbered for rents, leases, and/or repairs.

**Line 11** Enter the amount expended or encumbered for interprogram services.

**Line 12** Enter the amount expended or encumbered for non-instructional consultant services.

**Line 13** Enter the amount expended or encumbered for instructional consultant services.

**Line 14** Line 14 is a supplied calculation of the sum of Lines 5 through 13. This is the total **DIRECT COST** for the program.

**Line 15** Enter the amount expended for capital outlay. Capital outlay for the TUPE program is limited to 5 percent or \$1,000 of the LEA's 2002-03 entitlement amount (Line 1), whichever is greater.

**Line 16** Enter the indirect costs allowed based on the total actual expenditures and encumbrances listed on Line 14. The indirect cost rate used to calculate indirect costs can be less, but not more than, the CDE-approved indirect cost rate for your county or district supplied on this page.

If you have questions regarding your CDE-approved indirect cost rate, you may call the CDE Financial Accountability and Information Services Unit at (916) 322-1770.

**Indirect Cost Formula:** To determine the allowed indirect costs, use the following formula:

3. Multiply Line 14, the sub-total direct costs times the LEA's approved indirect cost rate. This will determine your indirect cost.
4. Place the indirect cost on Line 16.

**Example:** An LEA has \$12,276 actual expenditures and encumbrances, and a 5.22% CDE-approved indirect cost rate.

- $\$12,276 \times 5.22\% = \$641$  (rounded)
- The \$641 is your LEA's allowed indirect costs.
- Enter the \$641 amount on Line 16 (indirect costs).

**Line 17**            Line 17 is a supplied calculation of the sum of lines 14 through 16.  
This is the total 2002-03 expenditures and encumbrances for the program.

**Page 29: 2002-2003 TUPE Carryover Calculations and Carryover Request  
Justification**

**Please complete page 28 before completing this page.** Page 29 is used to calculate the Tobacco Use Prevention Education (TUPE) carryover for those Local Educational Agencies (LEAs) that applied as a county office of education, school district, or a direct-funded charter school. If the carryover is over 25 percent, Section B, the Carryover Request Justification must be completed. Upon demonstration of good cause by the LEA, the carryover amount greater than 25 percent will be approved by the CDE.

**LEA Status:**

If an LEA did not receive 2002-03 TUPE funds, check “The page is not applicable” box. The LEA is not required to complete the rest of this page.

**Section A: TUPE Carryover Calculation**

Based on the information supplied by participating LEAs in the TUPE portion of the 2002-03 Consolidated Application, Part II, the fiscal data in lines 1 through 5 have been supplied.

**Line 1**     The LEA’s 2002-03 TUPE entitlement amount is supplied. Same as Page 28, Line 1.

**Line 2**     The LEA’s 2001-02 TUPE carryover resources are supplied. Same as Page 28, Line 2.  
**Unspent 2001-02 funds must be spent or obligated by 6/30/04.**

**Line 3**     The LEA’s 2000-01 TUPE carryover resources are supplied. Same as Page 28, Line 3.

**Line 4**     The LEA’s total 2002-03 TUPE Resources is supplied. Same as Page 28, Line 4.

**Line 5**     The LEA’s total 2002-03 Expenditures/Encumbrances is supplied. Same as Page 28, Line 17.

**Line 6**     The amount of the unspent 2000-2001 funds (Line 6) is the result of a supplied calculation. If Line 5 is more than or equal to Line 3, a zero (“0”) appears. Otherwise, the entered amount of unspent 2000-01 funds is Line 3 minus Line 5. This is the amount of funds that reverted 6/30/03 and must be returned to the CDE. The CDE will bill the LEA for the unspent funds.

**Line 7** The amount of unspent 2001-02 funds (Line 7) being carried into 2003-04 is a supplied calculation. Unspent 2001-02 funds must be spent or obligated by 6/30/04:

- If the 2002-03 expenditures and encumbrances (Line 5) is greater than or equal to the 2000-01 TUPE carryover funds (Line 3) plus the 2001-02 TUPE carryover funds (Line 2), then Line 7 is zero.
- Otherwise, the 2001-02 carryover funds (Line 7) are equal to the 2000-01 TUPE carryover funds (Line 3) plus the 2001-02 TUPE carryover funds (Line 2) minus the Total 2002-03 expenditures and encumbrances (Line 5) minus the unspent 2000-01 funds (Line 6). This amount appears on Line 7.

**Line 8** The amount of unspent 2002-03 funds (Line 8) that will be carried forward into 2003-04 is a supplied calculation. Unspent 2002-03 funds must be spent or obligated by 6/30/05:

- If the 2002-03 expenditures and encumbrances (Line 5) is greater than or equal to the total 2002-03 TUPE resources (Line 4) then Line 8 is zero.
- Otherwise, the 2002-03 carryover funds (Line 8) equal the total 2002-03 TUPE resources (Line 4) minus the 2002-03 expenditures and encumbrances (Line 5) minus the unspent 2000-01 funds (Line 6) minus the 2001-02 carryover funds (Line 7). This amount appears on Line 8.

**Line 9** The percentage of the 2002-2003 entitlement to be carried into 2003-2004 (Line 9) is a supplied calculation. To determine the carryover percentage, the carryover amount is divided by the 2002-03 entitlement [the sum of the 2001-02 carryover funds (Line 7) plus the 2002-03 carryover funds (Line 8)] divided by the 2002-03 TUPE entitlement (Line 1) times 100). If the percent is 25 percent or less, you are finished with this page. If the percent is over 25 percent, then Section B (below) needs to be completed.

## **Section B Carryover Request Justification**

Any individual LEA that exceeded the 25 percent carryover provision in Section A must complete Section B TUPE Carryover Request Justification. Upon demonstration of good cause by the LEA, the greater amount will be approved by the CDE.

The use of TUPE carryover funds is limited to those activities that will directly result in the prevention of tobacco use and must comply with all TUPE program requirements, the Principles of Effectiveness, and the LEA's approved Local Educational Agency Plan (LEAP).

This form, page 29, must be approved and on file with the CDE before the LEA can spend the carryover funds that are in excess of the 25 percent limit. For additional

assistance in completing this section, contact Shalonn Woodard, Safe & Healthy Kids Program Office, at (916) 319-0197.

### Page 30: 2003-2004 TUPE Program Budget Summary

**Please complete pages 28 and 29 before completing this page.** Page 30 is used to summarize the 2003-04 line item budget that will support the Tobacco Use Prevention Education (TUPE) Program for those Local Educational Agencies (LEAs) submitting this application as a county office, a school district, or a direct-funded charter school.

#### LEA Status:

If an LEA is not participating in the TUPE Program, check the box “The page is not applicable”. The LEA is not required to complete the rest of this page. The LEA will not receive 2003-04 TUPE entitlement funds. **Note: If an LEA elects not to participate Line 1 shows the amount the LEA will not receive and Lines 2 & 3 show the carryover funds that the LEA will be billed.**

**Line 1** For county offices, school districts, and direct-funded charter schools, the 2003-04 TUPE entitlement amount is supplied on Line 1.

**Line 2** The amount of 2001-02 TUPE carryover funds is supplied. Same as on Page 29, Line 7. **Note: These funds must be spent or obligated by June 30, 2004. Otherwise, they must be returned to the CDE.**

**Line 3** The amount of 2002-03 TUPE carryover funds is supplied. Same as on Page 29, Line 8. **Note: These funds must be spent or obligated by June 30, 2005. Otherwise, they must be returned to the CDE.**

**Line 4** The amount of total 2003-04 TUPE resources is the result of a supplied calculation. This is the total 2003-04 resources that must be used for the TUPE program.

Before entering the projected budget amounts on Lines 5 through 13, each LEA must first calculate the funding levels for Capital Outlay (Line 15), Total Direct Costs (Line 14), and Indirect Costs (Line 16) in that order. To do this, complete the following three steps

Step 1: **Line 15.** Enter the amount of Capital Outlay (Line 15) for the TUPE program. Capital Outlay is limited to 5 percent of the LEA’s 2003-04 entitlement amount (Line 1), or \$1,000 whichever is greater. If an LEA does not want capital outlay, enter a zero.

Step 2: **Line 14.** The amount of Direct Costs (Line 14) is the result of a supplied calculation (the sum of Lines 5 through 13) that must pass the following error check formula that ensures the amount of direct costs equal or exceed a required minimum:

- Total program resources (Line 4) minus capital outlay (Line 15) = working resources.

- Working resources divided by 1 plus your indirect cost rate (in decimal format) = total direct costs allowed.

**Example:** An LEA has \$53,000 in total program resources, \$1,000 of capital outlay, and a CDE-approved rate of 3.5 percent.

- $\$53,000 - \$1,000 = \$52,000$  (working resources)
- $\$52,000 / 1.035 = \$50,241.55$  (direct costs)

**NOTE:** The **indirect cost rate** used to calculate direct costs can be less than, but no more than the CDE-approved indirect costs rate for your county or district supplied on this page. If you have questions regarding your CDE-approved indirect cost rate, you may call the CDE Financial Accountability and Information Services Unit at (916) 322-1770.

Step 3: **Line 16.** Enter the amount of Indirect Costs (Line 16). Indirect Costs equal the Total 2003-04 Resources (Line 4) minus Capital Outlay (Line 15), minus Direct Costs (Line 14).

**Lines 5 through 13:** The LEA is now ready to project the direct costs in Lines 5 through 13. Enter the projected direct cost budget amounts on Lines 7 through 13 that will best support implementation of the performance goal 4 section of the LEA's approved Local Educational Agency Plan and other TUPE program requirements. **Note: An increase in any of the direct cost Lines 5 through 13 will automatically result in an increase in the Direct Cost over the minimum required amount (Line 14) and a decrease in the indirect cost (Line 16).**

**Line 17** The amount of total program costs is the result of a supplied calculation. These costs are the sum of total direct costs (Lines 14), capital outlay (Line 15), and indirect costs (Line 16). This amount must be the same as Line 4.

## **Page 31: 2002-2003 Reporting Form for School Safety and Violence Prevention Act**

**Page 31** provides the contact information and summarizes the category/item budget expenditures for the Safe Schools and Violence Prevention Act Funding for 2002-2003. For further information or clarification of instructions, contact the Safe and Healthy Kids Program Office at (916) 445-5695.

**Contact information:** This section requires the full name of the school district or county office of education, the CDS code, and the name and most current contact information of the person completing the report. Enter the contact information on the contact page.

**Line 1** The amount of the allocation for the 2002-2003 Safe Schools and Violence Prevention Act for the school district or county office of education has been entered for you in whole dollar amounts.

**Line 2** Enter the amount of carryover 2001-2002 funds from the Safe Schools and Violence Prevention Act allocation for the school district or county office of education in whole dollar amounts only.

**Line 3** Enter the total amount of budget resources available for this report on expenditures for the Safe Schools and Violence Prevention Act for the school district or county office of education, (the total of 2002-2003 funding and 2001-2002 unobligated funds).

**Section 4      Personnel:** Show the carryover and 2002-2003 allocation funds in the funding allocation column. Benefits may be included as part of the Personnel category in whole dollar amounts only. On the “Other” line, show any other budget expenditures for personnel not listed as a Personnel sub-category in whole dollar amounts only.

**Section 5      Infrastructure :** Show the carryover and 2002-2003 allocation funds in the funding allocation column expended for infrastructure improvements, communication devices, surveillance, building modifications including new and repaired fencing, lighting, and school safety improvements in whole dollar amounts only. On the “Other” line, show any other budget expenditures for infrastructure not listed as a subcategory of Infrastructure.



**Page 32: 2002-2003 Reporting Form for School Safety and Violence Prevention Act**  
(Continued)

**Page 32:** This page is a continuation of Page 31.

**Section 6      Staff Training:** Show the carryover and 2002-2003 allocation funds in the funding allocation column expended for staff training in whole dollar amounts only. On the “Other” line, show any other budget expenditures for staff training not listed as a sub-category. (Show expenditures for training or instruction in dating, interpersonal and domestic violence prevention on the “Other” line.)

**Section 7      Law Enforcement Partnerships:** Show the carryover and 2002-2003 allocation funds in the funding allocation column expended for law enforcement partnership activities in whole dollar amounts only. On the “Other” line, show any other budget expenditures for law enforcement activities that are not listed as a sub-category.

**Section 8      Parent and Student Training :** Show the carryover and 2002-2003 allocation funds in the funding allocation column expended for parent and student training in whole dollar amounts only. On the “Other” line, show any other budget expenditures for parent and student training not listed as a sub-category. (Show expenditures for age appropriate instruction in dating, interpersonal and domestic violence prevention on the “Other” line.)

**Section 9      Local Educational Agency Plan:** Show the carryover and 2002 – 03 allocation in the funding allocation column for science-based programs and research-based activities that are listed in the approved Local Educational Agency Plan for preventing drug use and violence to comply with No Child Left Behind Act of 2001 (NCLB).

**Line 10      Other:** Show the amount spent for indirect costs. The indirect cost rate used to calculate indirect costs can be less than, but no more than the CDE approved indirect costs rate for your county of district for the expenditure year. The indirect cost rate may be found on the website at: <http://www.cde.ca.gov/sfsdiv/financial/icr.htm>. Show the carryover and 2002-2003 allocation funds expended for indirect costs in the funding allocation column.  
Other: Show any other budget expenditures for costs that cannot be listed in any of the broad categories listed in this report.

**Line 11      Total Expenditures for Schools:** Enter the total amount of budget resources that are current expenditures for the Safe Schools and Violence Prevention Act for the school district or county office of education, (Total of expenditure items 4 - 10).